

GUIDANCE REGARDING PROVISIONS OF THE ANNEX TO THE STCW CONVENTION

CHAPTER I

GUIDANCE REGARDING GENERAL PROVISIONS

Section B-I/1

Guidance regarding definitions and clarifications

- 1 The definitions contained in article II of the Convention, and the definitions and interpretations contained in regulation I/1 of its Annex, apply equally to the terms used in parts A and B of this Code. Supplementary definitions which apply only to the provisions of this Code are contained in section A-I/1.
- 2 Officers with capacities covered under the provisions of chapter VII may be designated as polyvalent officer, dual purpose officer or other designations as approved by the Administration, in accordance with the terminology used in the applicable safe manning requirements.
- 3 Ratings qualified to serve in capacities covered under the provisions of chapter VII may be designated as polyvalent ratings or other designations as approved by the Administration, in accordance with the terminology used in the applicable safe manning requirements.

Section B-I/2

Guidance regarding certificates and endorsements

- 1 Where an endorsement is integrated in the format of a certificate as provided by section A-I/2, paragraph 1, the relevant information should be inserted in the certificate in the manner explained hereunder, except for the omission of the space numbered .2. Otherwise in preparing endorsements attesting the issue of a certificate, the spaces numbered .1 to .17 in the form which follows the text hereunder, should be completed as follows:

- .1 Enter the name of the issuing State.
- .2 Enter the number assigned to the certificate by the Administration.
- .3 Enter the full name of the seafarer to whom the certificate is issued. The name should be the same as that appearing in the seafarer's passport, seafarer's identity certificate and other official documents issued by the Administration.
- .4 The number or numbers of the STCW Convention regulation or regulations under which the seafarer has been found qualified should be entered here, for example:
 - .4.1 II/1, if the seafarer has been found qualified to fill the capacity of officer in charge of a navigational watch,

- .4.2 III/1, if the seafarer has been found qualified to act as the officer in charge of an engineering watch in a manned engine-room, or as designated duty engineer officer in a periodically unmanned engine-room,
- .4.3 IV/2, if the seafarer has been found qualified to fill the capacity of radio operator,
- .4.4 VII/1, if the certificate is a functional certificate and the seafarer has been found qualified to perform functions specified in part A of the Code, for example, the function of marine engineering at the management level, and
- .4.5 III/1 and V/1, if found qualified to act as the officer in charge of an engineering watch in a manned engine-room, or as designated duty engineer officer in a periodically unmanned engine-room in tankers. (See limitations in paragraphs .8 and .10 below)
- .5 Enter the date of expiry of the endorsement. This date should not be later than the date of expiry, if any, of the certificate in respect of which the endorsement is issued, nor later than five years after the date of issue of the endorsement.
- .6 In this column should be entered each of the functions specified in part A of the Code, which the seafarer is qualified to perform. Functions and their associated levels of responsibility are specified in the tables of competence set out in chapters II, III and IV of part A of the Code, and are also listed for convenient reference in the introduction to part A. When reference is made under .4 above to regulations in chapters II, III or IV it is not necessary to list specific functions.
- .7 In this column should be entered the levels of responsibility at which the seafarer is qualified to perform each of the functions entered in column .6. These levels are specified in the tables of competence set out in chapters II, III and IV of part A of the Code, and are also listed for convenient reference in the introduction to part A.
- .8 A general limitation, such as the requirement to wear corrective lenses when performing duties, should be entered prominently at the top of the limitations column. Limitations applying to the functions listed in column .6 should be entered on the appropriate line against the function concerned, for example:
 - .8.1 "Not valid for service in tankers" - if not qualified under chapter V,
 - .8.2 "Not valid for service in tankers other than oil tankers" - if qualified under chapter V for service only in oil tankers,
 - .8.3 "Not valid for service in ships in which steam boilers form part of the ship's machinery" - if the related knowledge has been omitted in accordance with STCW Code provisions, and

- .8.4 "Valid only on near coastal voyages" if the related knowledge has been omitted in accordance with STCW Code provisions.

Note: Tonnage and power limitations need not be shown here if they are already indicated in the title of the certificate and in the capacity entered in column .9.

- .9 The capacity or capacities entered in column .9 should be those specified in the title to the STCW regulation or regulations concerned in the case of certificates issued under chapters II or III, or should be as specified in the applicable safe manning requirements of the Administration, as appropriate.
- .10 A general limitation such as the requirement to wear corrective lenses when performing duties should be entered prominently at the top of this limitations column also. The limitations entered in column .10 should be the same as those shown in column .8 for the functions performed in each capacity entered.
- .11 The number entered in space .11 should be that of the certificate, so that both certificate and endorsement have the same unique number for reference and for location in the register of certificates and/or endorsements, etc.
- .12 The date of original issue of the endorsement should be entered here; it may be the same as, or differ from, the date of issue of the certificate in accordance with the circumstances.
- .13 The name of the official authorized to issue the endorsement should be shown here in block letters below the official's signature.
- .14 The date of birth shown should be the date confirmed from Administration records or as otherwise verified.
- .15 The endorsement should be signed by the seafarer in the presence of an official, or may be incorporated from the seafarer's application form duly completed and verified.
- .16 The photograph should be a standard black and white or colour passport type head and shoulders photograph, supplied in duplicate by the seafarer so that one may be kept in or associated with the register of certificates.
- .17 If the blocks for revalidation are shown as part of the endorsement form (see section A-1/2, paragraph 1), the Administration may revalidate the endorsement by completing the block after the seafarer has demonstrated continuing proficiency as required by regulation I/11.

(Official Seal)

(COUNTRY)

ENDORSEMENT ATTESTING THE ISSUE OF A CERTIFICATE UNDER THE PROVISIONS OF THE INTERNATIONAL
CONVENTION ON STANDARDS OF TRAINING, CERTIFICATION AND WATCHKEEPING
FOR SEAFARERS, 1978, AS AMENDED IN 1995

The Government of1..... certifies that Certificate No.2..... has been issued to3..... who has been found duly qualified in accordance with the provisions of regulation4..... of the above Convention, as amended, and has been found competent to perform the following functions, at the levels specified, subject to any limitations indicated until5..... or until the date of expiry of any extension of the validity of this endorsement as may be shown overleaf:

.6 FUNCTION	.7 LEVEL	.8 LIMITATIONS APPLYING (IF ANY)

The lawful holder of this endorsement may serve in the following capacity or capacities specified in the applicable safe manning requirements of the Administration.

.9 CAPACITY	.10 LIMITATIONS APPLYING (IF ANY)

Endorsement No.11..... issued on12.....,

(Official Seal)

.....13.....
Signature of duly authorized official

.....
Name of duly authorized official

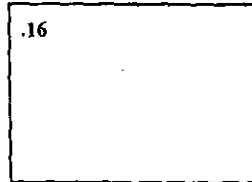
The original of this endorsement must be kept available in accordance with regulation I/2, paragraph 9 of the Convention while serving on a ship.

Date of birth of the holder of the certificate14 ...

Signature of the holder of the certificate15 ...

Photograph of the holder of the certificate

.16



The validity of this endorsement is hereby extended until

(Official seal)

Signature of duly authorized official

Date of revalidation....17

Name of duly authorized official

The validity of this endorsement is hereby extended until

Signature of duly authorized official

(Official seal)

Name of duly authorized official

Date of revalidation ...17

2 An endorsement attesting the recognition of a certificate may be attached to and form part of the certificate endorsed, or may be issued as a separate document (see STCW regulation I/2, paragraph 6). All entries made in the form are required to be in Roman characters and Arabic figures (see STCW regulation I/2, paragraph 8). The spaces numbered .1 to .17 in the form which follows the text hereunder are intended to be completed as indicated in paragraph 1 above, except in respect of the following spaces:

- .2 where the number assigned by the Party which issued the certificate being recognized should be entered;
- .3 where the name entered should be the same as that appearing in the certificate being recognized;
- .4 where the name of the Party which issued the certificate being recognized should be entered;
- .9 where the capacity or capacities entered in column .9 should be selected, as appropriate, from those specified in the safe applicable manning requirements of the Administration which is recognizing the certificate;
- .11 where the number entered in space .11 should be unique to the endorsement both for reference and for location in the register of endorsements; and
- .12 where the date of original issue of the endorsement should be entered.

3 When replacing a certificate or endorsement which has been lost or destroyed, Parties should issue the replacement under a new number, to avoid confusion with the document to be replaced.

(Official Seal)

(COUNTRY)

ENDORSEMENT ATTESTING THE RECOGNITION OF A CERTIFICATE UNDER THE PROVISIONS OF THE
INTERNATIONAL CONVENTION ON STANDARDS OF TRAINING, CERTIFICATION AND
WATCHKEEPING FOR SEAFARERS, 1978, AS AMENDED IN 1995

The Government of1..... certifies that Certificate No.2..... issued to3..... by or on behalf of the Government of4..... is duly recognized in accordance with the provisions of regulation I/10 of the above Convention, as amended, and the lawful holder is authorized to perform the following functions, at the levels specified, subject to any limitations indicated until5.... or until the date of expiry of any extension of the validity of this endorsement as may be shown overleaf:

.6 FUNCTION	.7 LEVEL	.8 LIMITATIONS APPLYING (IF ANY)

The lawful holder of this endorsement may serve in the following capacity or capacities specified in the applicable safe manning requirements of the Administration:

.9 CAPACITY	.10 LIMITATIONS APPLYING (IF ANY)

Endorsement No.11... issued on12.....

(Official Seal)

.....13.....
Signature of duly authorized official

.....
Name of duly authorized official

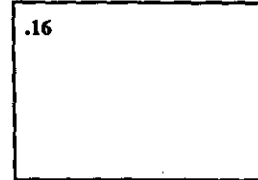
The original of this endorsement must be kept available in accordance with regulation I/2, paragraph 9 of the Convention while serving on a ship.

Date of birth of the holder of the certificate14 ...

Signature of the holder of the certificate15 ...

Photograph of the holder of the certificate

.16



The validity of this endorsement is hereby extended until

(Official seal)

.....
Signature of duly authorized official

Date of revalidation ...17

.....
Name of duly authorized official

The validity of this endorsement is hereby extended until

(Official seal)

.....
Signature of duly authorized official

Date of revalidation...17

.....
Name of duly authorized official

Section B-I/3

Guidance regarding near-coastal voyages

1 When a Party defines near-coastal voyages, *inter alia*, for the purposes of applying variations to the subjects listed in column 2 of the standard of competence tables contained in chapters II and III of part A of the Code, for the issue of certificates valid for service in ships entitled to fly the flag of that Party and engaged on such voyages, account should be taken of the following factors, bearing in mind the effect on the safety of all ships and on the marine environment.

- .1 the type of ship and the trade in which it is engaged;
- .2 the gross tonnage of the ship and the power in kW of the main propulsion machinery;
- .3 the nature and length of the voyages;
- .4 the maximum distance from a port of refuge;
- .5 the adequacy of the coverage and accuracy of navigational position-fixing devices;
- .6 the weather conditions normally prevailing in the near-coastal voyage area;
- .7 the provision of shipboard and coastal communication facilities for search and rescue.

2 A Party which includes voyages off another Party's coast within the limits of its near-coastal voyage definition, may enter into a bilateral agreement with the Party concerned.

3 It is not intended that ships engaged on near-coastal voyages should extend their voyages world-wide, under the excuse that they are navigating constantly within the limits of designated near-coastal voyages of neighbouring Parties.

Section B-I/4

Guidance regarding control procedures

Introduction

1 The purpose of the control procedures of regulation I/4 is to enable officers duly authorized by port States to ensure that the seafarers on board have sufficient competence to ensure safe and pollution-free operation of the ship.

2 This provision is no different in principle from the need to make checks on ships' structures and equipment. Indeed, it builds on these inspections to make an appraisal of the total system of on-board safety and pollution prevention.

Assessment

3 By restricting assessment as indicated in section A-I/4, the subjectivity which is an unavoidable element in all control procedures, is reduced to a minimum, no more than would be evident in other types of control inspection.

4 The clear grounds given in regulation I/4, paragraph 1.3 will usually be sufficient to direct the inspector's attention to specific areas of competency, which could then be followed up by seeking evidence of training in the skills in question. If this evidence is inadequate or unconvincing, the authorized officer may ask to observe a demonstration of the relevant skill.

5 It will be a matter for the professional judgement of the inspector when on board, either following an incident as outlined in regulation I/4 or for the purposes of a routine inspection, whether the ship is operated in a manner likely to pose a danger to persons, property or the environment.

Section B-I/5

Guidance regarding national provisions

(No provisions)

Section B-I/6

Guidance regarding training and assessment

Qualifications of instructors and assessors

1 Each Party should ensure that instructors and assessors are appropriately qualified and experienced for the particular types and levels of training or assessment of competence of seafarers, as required under the Convention, in accordance with the guidelines in this section.

In-service training and assessment

2 Any person on board or ashore conducting in-service training of a seafarer intended to be used in qualifying for certification under the Convention should have received appropriate guidance in instructional techniques.

3 Any person responsible for the supervision of in-service training of a seafarer intended to be used in qualifying for certification under the Convention should have appropriate knowledge of instructional techniques and of training methods and practice.

4 Any person, on board or ashore, conducting an in-service assessment of the competence of a seafarer intended to be used in qualifying for certification under the Convention, should have:

- .1 received appropriate guidance in assessment methods and practice; and
- .2 gained practical assessment experience under the supervision and to the satisfaction of an experienced assessor.

5 Any person responsible for the supervision of the in-service assessment of competence of a seafarer intended to be used in qualifying for certification under the Convention, should have a full understanding of the assessment system, assessment methods and practice.

Section B-I/7

Guidance regarding communication of information

Reports of difficulties encountered

Parties are requested to include in the reports required by regulation I/7 an indication of any relevant guidance contained in part B of this Code, the observance of which has been found to be impracticable.

Section B-I/8

Guidance regarding quality standards

1 In applying quality standards under the provisions of regulation I/8 and section A-I/8 to the administration of its certification system, each Party should take account of existing national or international models, and incorporate the following key elements:

- .1 an expressed policy regarding quality and the means by which such policy is to be implemented;
- .2 a quality system incorporating the organizational structure, responsibilities, procedures, processes and resources necessary for quality management;
- .3 the operational techniques and activities to ensure quality control;
- .4 systematic monitoring arrangements including internal quality assurance evaluations, to ensure that all defined objectives are being achieved; and
- .5 arrangements for periodic external quality evaluations as described in the following paragraphs.

2 In establishing such quality standards for the administration of their national certification system, Administrations should seek to ensure that the arrangements adopted:

- .1 are sufficiently flexible to enable the certification system to take account of the varying needs of the industry, and that they facilitate and encourage the application of new technology;
- .2 cover all the administrative matters that give effect to the various provisions of the Convention, in particular regulations I/2 to I/15 and other provisions which enable the Administration to grant certificates of service and dispensations and to withdraw, cancel and suspend certificates;
- .3 encompass the Administration's responsibilities for approving training and assessment at all levels, from undergraduate-type courses and updating courses for certificates of competency to short courses of vocational training; and

- .4 incorporate arrangements for the internal quality assurance reviews under paragraph 1.4 involving a comprehensive self-study of the administrative procedures, at all levels, in order to measure achievement of defined objectives and to provide the basis for the independent external evaluation required under section A-1/8, paragraph 3.

Quality standards model for assessment of knowledge, understanding, skills and competence

3 The quality standards model for assessment of knowledge, understanding, skills and competence should incorporate the recommendations of this section within the general framework of either:

- .1 a national scheme for education and training accreditation or quality standards; or
- .2 an alternative quality standards model acceptable to the Organization.

4 The above quality standards model should incorporate:

- .1 a quality policy, including a commitment by the training institution or unit to the achievement of its stated aims and objectives, and to the consequential recognition by the relevant accrediting or quality standards authority;
- .2 those quality management functions that determine and implement the quality policy, relating to aspects of the work which impinge on the quality of what is provided, including provisions for determining progression within a course or programme;
- .3 quality system coverage, where appropriate, of the academic and administrative organizational structure, responsibilities, procedures, processes and the resources of staff and equipment;
- .4 the quality control functions to be applied at all levels to the teaching, training, examination and assessment activities, and to their organization and implementation, in order to ensure their fitness for their purpose and the achievement of their defined objectives;
- .5 the internal quality assurance processes and reviews which monitor the extent to which the institution, or training unit, is achieving the objectives of the programmes it delivers, and is effectively monitoring the quality control procedures which it employs; and
- .6 the arrangements made for periodic external quality evaluations required under regulation 1/8, paragraph 2 and described in the following paragraphs, for which the outcome of the quality assurance reviews forms the basis and starting point.

5 In establishing quality standards for education, training and assessment programmes, the organizations responsible for implementing these programmes should take account of the following:

- .1 Where provisions exist for established national accreditation, or education quality standards, such provisions should be utilized for courses incorporating the knowledge and understanding requirements of the Convention. The quality standards should be applied to both management and operational levels of the activity, and should take account of how it is managed, organized, undertaken and evaluated, in order to ensure that the identified goals are achieved.
- .2 Where acquisition of a particular skill or accomplishment of a designated task is the primary objective, the quality standards should take account of whether real or simulated equipment is utilized for this purpose, and of the appropriateness of the qualifications and experience of the assessors, in order to ensure achievement of the set standards.
- .3 The internal quality assurance evaluations should involve a comprehensive self-study of the programme, at all levels, to monitor achievement of defined objectives through the application of quality standards. These quality assurance reviews should address the planning, design, presentation and evaluation of programmes as well as the teaching, learning and communication activities. The outcome provides the basis for the independent evaluation required under section A-1/8, paragraph 3.

The independent evaluation

6 Each independent evaluation should include a systematic and independent examination of all quality activities, but should not evaluate the validity of the defined objectives. The evaluation team should:

- .1 carry out the evaluation in accordance with documented procedures;
- .2 ensure that the results of each evaluation are documented and brought to the attention of those responsible for the area evaluated; and
- .3 check that timely action is taken to correct any deficiencies.

7 The purpose of the evaluation is to provide an independent assessment of the effectiveness of the quality standard arrangements at all levels. In the case of an education or training establishment a recognized academic accreditation or quality standards body or Government agency should be used. The evaluation team should be provided with sufficient advance information to give an overview of the tasks in hand. In the case of a major training institution or programme, the following items are indicative of the information to be provided:

- .1 the mission statement of the institution;
- .2 details of academic and training strategies in use;
- .3 an organization chart and information on the composition of committees and advisory bodies;
- .4 staff and student information;
- .5 a description of training facilities and equipment; and

- .6 an outline of the policies and procedures on:
 - .6.1 student admission,
 - .6.2 the development of new courses and review of existing courses,
 - .6.3 the examination system, including appeals and resits,
 - .6.4 staff recruitment, training, development, appraisal and promotion,
 - .6.5 feedback from students and from industry, and
 - .6.6 staff involvement in research and development.

The report

8 Before submitting a final report, the evaluation team should forward an interim report to the management seeking their comments on their findings. Upon receiving their comments, the evaluators should submit their final report, which should:

- .1 include brief background information about the institution or training programme;
- .2 be full, fair and accurate;
- .3 highlight the strengths and weaknesses of the institution;
- .4 describe the evaluation procedure followed;
- .5 cover the various elements identified in paragraph 4;
- .6 indicate the extent of compliance or non-compliance with the requirements of the Convention and the effectiveness of the quality standards in ensuring achievement of defined aims and objectives; and
- .7 spell out clearly the areas found deficient, offer suggestions for improvement and provide any other comments the evaluators consider relevant.

Section B-1/9

Guidance regarding medical standards - Issue and registration of certificates

Medical examination and certification

- 1 The standards developed pursuant to regulation 1/9, paragraph 1, should take into account the views of recognized medical practitioners experienced in medicine as applied in the maritime environment.

- 2 The medical standards may differentiate between those persons seeking to start a career at sea and those seafarers already serving at sea. In the former case, for example, it might be appropriate to designate higher standards in certain areas, while in the latter case some reduction may be made for age.
- 3 The standards should, so far as possible, define objective criteria with regard to fitness for sea service, taking into account access to medical facilities and medical expertise on board ship. They should, in particular, specify the conditions under which seafarers suffering from potentially life-threatening medical conditions controlled by medication may be allowed to continue to serve at sea.
- 4 The medical standards should also identify particular medical conditions, such as colour blindness, which might disqualify seafarers from holding particular positions on board ship.
- 5 Medical examinations and certification of seafarers under the standards should be conducted by one or more medical practitioners recognized by the Party. A list of medical practitioners so recognized should be made available to other Parties and to companies on request.
- 6 In the absence of mandatory international eyesight standards for seafarers, Parties should regard the minimum in-service eyesight standards set out in paragraphs 7 to 11 and table B-I/9 hereunder as the minimum for the safe operation of ships, and report on maritime casualties where poor eyesight has contributed to such incidents.
- 7 Each Administration has the discretionary authority to grant a variance or waiver of any of the standards set out in table B-I/9 hereunder, based on an assessment of a medical evaluation and any other relevant information concerning an individual's adjustment to the condition and proven ability to satisfactorily perform assigned shipboard functions. However, if the aided distant visual acuity of either eye is less than the standard, the aided distant visual acuity in the better eye should be at least 0.2 higher than the standard indicated in the table. The unaided distant visual acuity in the better eye should be at least 0.1.
- 8 Persons requiring the use of spectacles or contact lenses to perform duties should have a spare pair conveniently available on board the ship. Any need to wear visual aids to meet the required standards should be recorded on each certificate and endorsement issued.
- 9 Eyes of seafarers should be free of disease. Any permanent or progressing debilitating pathology without recovery should be cause for a determination of unfitness.
- 10 All tests needed to determine the visual fitness of a seafarer must be reliable and performed by a competent person recognized by the Administration.
- 11 Notwithstanding these provisions, the Administration may require higher standards than those given in table B-I/9 below.

Issue and registration of certificates

Approval of seagoing service

12 In approving seagoing service required by the Convention, Parties should ensure that the service concerned is relevant to the qualification being applied for, bearing in mind that, apart from the initial familiarization with service in seagoing ships, the purpose of such service is to allow the seafarer to be instructed in and to practise, under appropriate supervision, those safe and proper seagoing practices, procedures and routines which are relevant to the qualification applied for.

Approval of training courses

13 In approving training courses and programmes, Parties should take into account that the various IMO Model Courses identified by footnotes in Part A of this Code can assist in the preparation of such courses and programmes and ensure that the detailed learning objectives recommended therein are suitably covered.

Electronic access to registers

14 Where the register or registers of certificates, endorsements and other documents issued by or on behalf of a Party are maintained by electronic means, provision should be made to allow controlled electronic access to such register or registers to allow Administrations and companies to confirm:

- .1 the name of the seafarer to whom a certificate, endorsement or other qualification was issued, its relevant number, date of issue, and date of expiry;
- .2 the capacity in which the holder may serve and any limitations attaching thereto; and
- .3 the functions the holder may perform, the levels authorized and any limitations attaching thereto.